



State of Rhode Island
Department of Business Regulation



**DIVISION OF COMMERCIAL LICENSING AND RACING AND ATHLETICS
AUCTIONEER SECTION**

**233 Richmond Street, Suite 230
Providence, Rhode Island 02903-4230
Telephone (401) 222-2416 Facsimile (401) 222-6654
www.dbr.state.ri.us**

APPLICATION FOR AUCTIONEER'S LICENSE INSTRUCTIONS

- **TRIENNIAL LICENSE *LICENSE FEES ARE PRO-RATED PER YEAR CALL FOR CURRENT FEES***
- **Make all checks payable to "Rhode Island General Treasurer."**
- **ALL LICENSEES NEED TWO (2) COLOR PHOTOGRAPHS (1X1) FULL FACE FOR I.D. CARDS**

RESIDENT AUCTIONEER APPLICANTS

1. Auctioneer Application
2. \$10.00 Application Fee
3. \$15.00 Examination Fee (unless actively licensed in good standing at time of 1995 deregulation)
4. License Fee is PRO-RATED per year: \$600 the first year, \$400 the second year, \$200 the third year.*
5. \$10,000.00 Surety Bond
6. BCI Waiver Form

NON-RESIDENT AUCTIONEER APPLICANTS

1. Auctioneer Application
2. \$10.00 Application Fee
3. Letter of Good Standing showing Auctioneer's license issued by State of domicile or other accepted lawful Jurisdiction we have reciprocity with, is in force and in good standing
4. If unlicensed in any jurisdiction at time of application, submit \$15.00 examination fee
5. License Fee is PRO-RATED per year: \$900 the first year, \$600 the second year, \$300 the last year*
6. \$10,000.00 Surety Bond
7. Submit BCI (Bureau of Criminal Investigation) from your State Police Department
8. Uniform Consent to Service of Process

APPRENTICE AUCTIONEER APPLICANTS (Resident's Only)

1. Apprentice Application
2. \$10.00 Application Fee
3. License Fee is PRO-RATED per year: \$60 the first year, \$40 the second year, \$20 the last year.*
4. \$2,000.00 Surety Bond

⇒You are hereby notified that you must comply with all relevant Rhode Island laws and requirements regarding Duty Fees at the General Treasurer's office (401)222-2287 and Sales Tax at the Taxation Department (401)222-2950. Such laws include the requirement of securing an annual retail sales permit pursuant to RI General Law 44-19-1.⇐

The Licensing Law Title 5 Chapter 5-58 & the Rules and Regulations pertaining to Auctioneers are available at the Department of Business Regulation for \$2.00 per copy or on line at www.dbr.state.ri.us



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APPLICATION FOR AUCTIONEER LICENSE

CATEGORY OF APPLICANT (Check one of the following) :

_____ Resident Auctioneer. I am applying for a resident auctioneer. I presently have a RI apprentice license.

_____ Non-Resident Auctioneer. I am applying for a non-resident auctioneer's license. I am not a resident of the state. I presently have a license in a lawful jurisdiction that is reciprocal with Rhode Island .

_____ Auctioneer Exam. I am applying to take the auctioneer exam. I do not hold an auctioneer's license in this state or any lawful jurisdiction Rhode Island has reciprocal licensing with.

_____ Apprentice Auctioneer. I am applying for an apprentice auctioneer permit.

_____ I was a Licensed Auctioneer in Rhode Island in Good Standing (Resident or Non-Resident) before the June 1995 deregulation.

1. _____ 2. _____
Name (Last) (First) (Middle) Social Security Number

3. _____
Residence (Street) (City/Town) (State) (Zip)

4. _____ 5. _____ 6. _____
Home Telephone Number Date of Birth Place of Birth

7. Height: _____ 8. Weight: _____ 9. Color of Eyes: _____ 10. Color of Hair: _____

11. _____
Name and Address of Employer

12. _____ 13. _____
Business Telephone Number Date of Employment

14. List other Auctioneer licenses or apprentice auctioneer licenses or permits held:
State Date of Issue Date of Expiration



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APPLICATION FOR AUCTIONEER LICENSE CONTINUEED ...

15. Complete the following questions by checking the appropriate box. Explain any "yes" answers in detail on separate sheet (s) of paper and attach statement to this application.

_____ Yes _____ No Have you ever been denied any auctioneer license or apprentice auctioneer license or permit in this or in any other state or jurisdiction?

_____ Yes _____ No Have you ever had an auctioneer license or apprentice auctioneer license or permit suspended or revoked, or have you ever been disciplined by the licensing authority in this or any other state or jurisdiction?

_____ Yes _____ No Have you ever had any other business or professional license of any kind denied, suspended, or revoked in this or any other state or jurisdiction?

_____ Yes _____ No Have you ever (1) been convicted of or plead nolo contendere to anything other than a minor traffic violation or (2) been convicted or plead nolo contendere to any crime of moral turpitude, or (3) been convicted or plead nolo contendere to misrepresenting goods sold at auction, or (4) been convicted or plead nolo contendere to appropriating or unlawfully converting monies of others?

_____ Yes _____ No Are there any unpaid judgments of debt now outstanding against you?

16. FOR APPRENTICE AUCTIONEER APPLICANTS:

The auctioneer with whom the applicant will be affiliated or associated with must personally sign the following statement:

This is to certify that the apprentice auctioneer applicant named in this application will, when issued a permit by the Director of Business Regulation, be associated with, employed, or engaged by me in the capacity of an apprentice auctioneer, that I will exercise proper supervision over and assume responsibility for his/her acts as an apprentice auctioneer while associated with me in accordance with applicable provisions of any rules and regulations promulgated by the Director, and I certify that to the best of my knowledge he/she is a person of honesty, truthfulness, and integrity, and that I will personally appear before the Director and/or his/her designated representative(s) in conjunction with this application if requested to do so. I further certify that I have read the completed application before signing below.

Name and address of Supervising Auctioneer: _____

License Number: _____

x _____
Signature of Supervising Auctioneer



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APPLICATION FOR AUCTIONEER LICENSE CONTINUED...

17. FOR NON-RESIDENT AUCTIONEER APPLICANTS:

I hereby name the Director of Business Regulation agent upon whom service may be made in any action brought against me.

X _____

Signature of Non-Resident Applicant

_____ Date

18. FOR ALL APPLICANTS:

All applicants must have this section endorsed by two (2) reputable citizens of the community in which you reside or have resided.

We, the undersigned citizens, residing at the present time in the community in which the applicant resides or has resided, and who are not related to nor associated with the applicant in business, do hereby certify that he/she is well known to us individually, is of good moral character, and bears a good reputation for honesty, truthfulness, and integrity.

Print Name of Endorser

Print Name of Endorser

Signature of Endorser

Signature of Endorser

Address

Address

Telephone Number

Telephone Number

The undersigned hereby applies for an auctioneer's license/apprentice auctioneer's permit pursuant to the provisions of Title 5, Chapter 58, of the General Laws of Rhode Island and any rules and regulations in support of the law promulgated by the Director. The undersigned makes oath that he/she has read and understands his/her obligations under the law and swears to the truth and accuracy of all statements, answers and representations made in the application, including all supplementary statements hereto attached.

X _____

Signature of Applicant

_____ Date

Subscribed and sworn to me this _____ day of _____, _____

X _____

Signature of Notary Public

My Commission Expires: _____



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**APPOINTMENT OF DIRECTOR OF BUSINESS REGULATION
AS AGENT OF AUCTIONEER
TO ACCEPT SERVICE OF PROCESS OR PLEADING**

Pursuant to the provisions of Title 5, Chapter 5-58, of the General Laws of Rhode Island, 1956 as amended and supportive rules and regulation, I, _____, do hereby appoint the Director of Business Regulation as my agent for the receipt of service of process or pleadings in the State of Rhode Island, upon which Director process or pleadings against me may be served. I do hereby consent that suits and actions may be commenced against me in the proper court of any country in the State of Rhode Island in which the plaintiff may reside by the service of any process or pleading authorized by the laws of the State of Rhode Island on the Director of Business Regulation, and I do hereby stipulate and agree that any such service of process or pleadings on the Director shall be taken and held in all courts to be as valid and binding upon me as if due service had been made upon me personally within the State of Rhode Island.

The foregoing appointment, consent, stipulation, and agreement shall be deemed to be and is irrevocable.

WITNESS my hand and seal this _____ day of _____, 20 _____.

X _____

STATE OF (_____)

COUNTY OF (_____) SS:

On this _____, day of _____, 20 _____.

_____ personally appeared before me, a notary public in and for said Country and State, _____, to me know to be the person described in an who executed the foregoing instrument and acknowledged that he/she executed such instrument as his/her free act and deed.

X _____

My Commission Expires:

Signature of Notary Public



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BOND OF AUCTIONEERS

TO THE DIRECTOR, DEPARTMENT OF BUSINESS REGULATION

STATE OF RHODE ISLAND AND PROVIDENCE PLANTIONS

KNOW ALL MEN BY THESE PRESENTS, THAT WE _____, as
principal and _____, as surety, are held and firmly bond unto the Director of The
Department of Business Regulation, State of Rhode Island in the aggregate sum of _____ Dollars
(\$ _____), to the payment whereof we bind ourselves, our heirs, executors, administrators and assigns,
jointly and severally, firmly by these presents.

WHEREAS, a license has been granted to the principal by the oblige to engage in business as an auctioneer in this State.

NOW, THEREFORE THE CONDITION OF THIS OBLIGATION is such that if the said principal shall comply with all
of the provisions of Title 5, Chapter 5-58 of the General Laws of Rhode Island, An Act Relating to the Licensing of
Auctioneers, shall faithfully observe and honestly comply with such statutes, rules and regulations, and any amendments
thereto, as require the execution of this bond, and shall agree to execute the duties of his office according to law, to pay
over all monies received by him for goods sold at auction, to the owners thereof, accrue on goods sold by him, then this
obligation to be void: otherwise to remain in full force and effect.

It is expressly understood that this bond may be cancelled by the Surety at the expiration of thirty (30) days from the date
upon which the Surety shall have filed with the principal and oblige written notice to cancel. This provision, however,
shall not operate to relieve, release, or discharge the surety from any liability already accrued or which shall accrue before
the expiration of the thirty (30) day period.

Signed, sealed and dated this _____, day of _____, 20 _____.

X _____
Witness to Principal (Signature)

X _____
Principal (Signature)

X _____
Witness to Surety (Signature)

By _____
Attorney-in fact (Signature)



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*****NOTICE TO NON-RESIDENT APPLICANTS*****

**IF YOU HAVE AN AUCTIONEER LICENSE IN A STATE WE ENJOY
RECIPROCITY WITH YOU DO NOT NEED TO TAKE OUR
EXAMINATION BUT NEED TO COMPLY WITH ALL OTHER LICENSING
REQUIREMENTS AND NEED TO SUBMIT A LETTER OF GOOD
STANDING FROM THE STATE YOU ARE LICENSED IN.**

**IF YOU DO NOT HAVE AN AUCTIONEER LICENSE IN A STATE WE
ENJOY RECIPROCITY WITH YOU WILL NEED TO TAKE AN
EXAMINATION WITH US.**

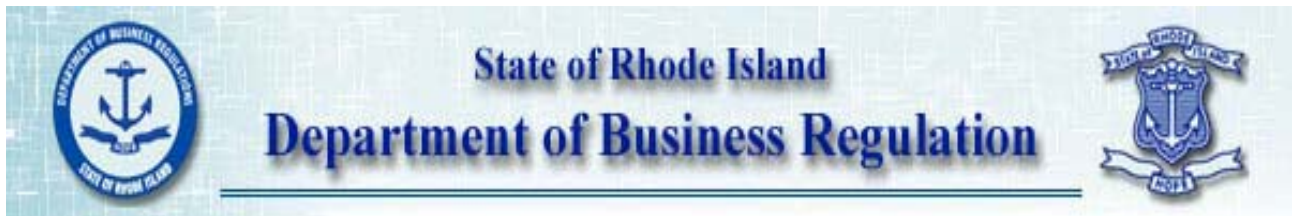
**CALL OUR OFFICE AT 401 222 3857
AND SET UP AN APPOINTMENT TO TAKE THE EXAM.**

**THE FOLLOWING STATES ARE RECIPROCAL WITH
RHODE ISLAND:**

FLORIDA, INDIANA, KENTUCKY

LOUISIANA, PENNSYLVANIA, SOUTH CAROLINA

TENNESSEE, TEXAS, VIRGINIA



DIVISION OF COMMERCIAL LICENSING AND RACING AND ATHLETICS

TRAVEL SECTION

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BCI WAIVER FORM

I, _____, of _____
(applicant name) (address)

having date of birth of _____ and a social security

number of _____ am applying for a _____ license,

with the Department of Business Regulation and I hereby direct and authorize the Bureau of Criminal Identification of the Department of Attorney General for the State of Rhode Island to make available to the Department of Business Regulation any criminal record or other disposition that the Bureau of Criminal Identification has on file in reference to me.

I hereby waive and release any and all manner of actions, cause of actions, and demands of every kind, nature and description, arising from any release of criminal records and requests there from, whatsoever against the State of Rhode Island, Bureau of Criminal Identification, the Attorney General, the employees of the Attorney General's Office and officials of the Department of Business Regulation in both law and equity which I may now have or in the future may have.

X _____
(Signature of Applicant) Date _____

Sworn to me on this _____, day of _____, _____.

X _____ My Commission Expires: _____
Notary Public Signature